

**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 04131.P004C

(maximum 12 characters)

First Named Inventor Jeffrey W. BaxterTitle: CLIP APPLYING APPARATUSES AND METHODS FOR VASCULAR LIGATIONExpress Mail Label No. EV 336 583 540 US22581 U.S. PTO  
10/715972  
111703

ADDRESS TO: Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)
2. ☐ **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. ☒ **Specification (Total Pages 16)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ **Drawings(s) (35 USC 113) (Total Sheets 9)**
5. ☒ **Oath or Declaration (Total Pages 5)**
  - a. ☐ Newly Executed (Original or Copy)
  - b. ☒ Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i. ☐ **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unsigned.
6. ☐ **Application Data Sheet. (37 CFR 1.76)**
7. ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8. ☐ **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS	
9.	_____ Assignment Papers (cover sheet & documents(s))
10.	_____ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee) _____ b. Power of Attorney
11.	_____ English Translation Document (if applicable)
12.	<u>X</u> a. <b>Information Disclosure Statement (IDS)/PTO-1449</b> _____ b. Copies of IDS Citations
13.	<u>X</u> <b>Preliminary Amendment</b>
14.	<u>X</u> <b>Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</b>
15.	_____ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.	_____ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). <u>Applicant must attach form PTO/SB/35 or its equivalent.</u>
17A.	_____ Claim for Foreign Priority
17B.	<u>X</u> <b>Other:</b> <u>Submission of Formal Drawings transmittal and 9 sheets of drawings;</u> <u>Petition for Suspension of Action (1 page)</u>
17C. <u>X</u> Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.	
18. If a <b>CONTINUING APPLICATION</b> , check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title (e.g., by way of preliminary amendment), or in an Application Data Sheet Under 37 C.F.R. 1.76:  <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 45%;"> <u>X</u> Continuation  Of Prior Application No.: <u>09/517,762</u> </div> <div style="width: 45%;"> _____ Divisional  Examiner <u>Jackson, Gary</u> Group Art Unit <u>3731</u> </div> </div> which is a _____ continuation/ _____ divisional/ _____ CIP of prior application no. _____ (List entire chain of priority)	
Applicant(s): <u>Also include a Preliminary Amendment to amend the specification to claim priority.</u> <b>For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</b>	
19. <b>Correspondence Address</b> Customer Number or Bar Code Label _____ or _____ (Insert Customer No. or Attach Bar Code Label here) <u>X</u> Correspondence Address Below	
NAME <u>James C. Scheller, Jr.</u> <u>BLAKELY, SOKOLOFF, TAYLOR &amp; ZAFMAN LLP</u> ADDRESS <u>12400 Wilshire Boulevard</u> <u>Seventh Floor</u> CITY <u>Los Angeles</u> STATE <u>California</u> ZIP CODE <u>90025-1026</u> Country <u>U.S.A.</u> TELEPHONE <u>(408) 720-8300</u> FAX <u>(408) 720-8383</u>	
Name (PRINT/TYPER): <u>James C. Scheller, Jr.</u> R gistrati n No.: <u>31,195</u> Signature: <u>[Signature]</u> Date: <u>11/17/2003</u>	

# FEE TRANSMITTAL FOR FY 2004

(FY 2004 Begins 10/01/2003)

TOTAL AMOUNT OF PAYMENT (\$) 1108.00

Complete if Known:

Application No. \_\_\_\_\_

Filing Date November 17, 2003

First Named Inventor Jeffrey W. Baxter

Examiner Name \_\_\_\_\_

Art Unit \_\_\_\_\_

Attorney Docket No. 04131.P004C

\_\_\_\_ Applicant claims small entity status. See 37 CFR 1.27.

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number : 02-2666

Deposit Account Name: \_\_\_\_\_

☒ The Director is Authorized to do the following with respect to the above-identified Deposit Account:

☐ Charge fee(s) indicated below.

☒ Credit any overpayments.

☒ Charge any additional fees during the pendency of this application.

☒ Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.

☐ Charge fee(s) indicated below except for the filing fee.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility application filing fee	<u>770.00</u>
1002	340	2002	170	Design application filing fee	_____
1003	530	2003	265	Plant filing fee	_____
1004	770	2004	385	Reissue filing fee	_____
1005	160	2005	80	Provisional application filing fee	_____
SUBTOTAL (1)\$					<u>770.00</u>

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims <u>22</u> - 20 = <u>2</u>	X	<u>18.00</u>	= <u>36.00</u>
Independent Claims <u>5</u> - 3 = <u>2</u>	X	<u>86.00</u>	= <u>172.00</u>
Multiple Dependent Claims <u>0</u>	X	_____	= <u>0</u>

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	_____
1201	86	2201	43	Independent claims in excess of 3	_____
1203	290	2203	145	Multiple dependent claim, if not paid	_____
1204	86	2204	43	**Reissue independent claims over original patent	_____
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	_____
SUBTOTAL (2)\$					<u>208.00</u>

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Larg Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
1051	130	2051	65	Surcharge - late filing fee or oath	_____
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	_____
1053	130	1053	130	Non-English specification	_____
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	_____
1813	8,800	1813	8,800	Request for inter parties reexamination	_____
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	_____
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	_____
1251	110	2251	55	Extension for reply within first month	_____
1252	420	2252	210	Extension for reply within second month	_____
1253	950	2253	475	Extension for reply within third month	_____
1254	1,480	2254	740	Extension for reply within fourth month	_____
1255	2,010	2255	1,005	Extension for reply within fifth month	_____
1401	330	2401	165	Notice of Appeal	_____
1402	330	2402	165	Filing a brief in support of an appeal	_____
1403	290	2403	145	Request for oral hearing	_____
1451	1,510	1451	1,510	Petition to institute a public use proceeding	_____
1452	110	2452	55	Petition to revive - unavoidable	_____
1453	1,330	2453	665	Petition to revive - unintentional	_____
1501	1,330	2501	665	Utility issue fee (or reissue)	_____
1502	480	2502	240	Design issue fee	_____
1503	640	2503	320	Plant issue fee	_____
1460	130	1460	130	Petitions to the Commissioner	_____
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	_____
1806	180	1806	180	Submission of Information Disclosure Stmt	_____
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	_____
1809	770	2809	385	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
1814	110	2814	55	Statutory Disclaimer	_____
1810	770	2810	385	For each additional invention to be examined (see 37 CFR 1.129(b))	_____
1801	770	2801	385	Request for Continued Examination (RCE)	_____
1802	900	1802	900	Request for expedited examination of a design application	_____
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	_____
1505	300	1505	300	Publication fee for republication	_____
1803	130	1803	130	Request for voluntary publication or republication	_____
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	_____
1454	1,330	1454	1,330	Acceptance of unintentionally delayed claim for priority	_____

Other fee (specify) Petition for Suspension of Action (1 page) 130.00

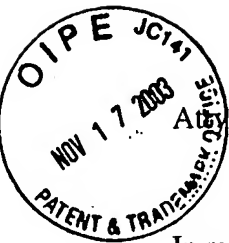
Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3)\$ 130.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: James C. Scheller, Jr.Signature:  Date: 11/17/2003Reg. Number: 31195 Telephone Number: (408) 720-8300

Send to : Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



Atty. Docket No. 04131.P004C

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Jeffrey W. Baxter

Application No. \_\_\_\_\_

Filed: November 17, 2003

For: CLIP APPLYING APPARATUSES AND  
METHODS FOR VASCULAR LIGATION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Examiner: Not yet assigned

Art Unit: Not yet assigned

PETITION FOR SUSPENSION OF ACTION  
UNDER 37 C.F.R. 1.103

Sir:

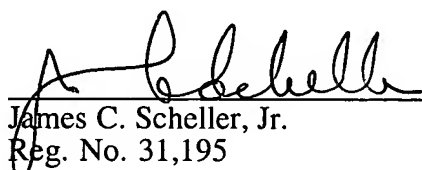
Applicant hereby petitions for the suspension of action in this application. At the present time, no outstanding action exists in this application. The suspension of action is requested for the reasonable time period of three months, and a check is enclosed for the necessary fee under 37 C.F.R. 1.17(i).

Please charge Deposit Account No. 02-2666 for any shortage of fees in connection with this response.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 11/17, 2003

  
James C. Scheller, Jr.  
Reg. No. 31,195

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025-1026  
(408) 720-8300

11/21/2003 STEUMEL1 00000034 10715972

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130.00 OP

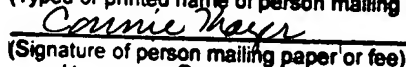
"Express Mail" mailing label number: EV 336 583 540 US

Date of Deposit: November 17, 2003

I hereby state that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office Addressee" service on the date indicated above and that this paper or fee has been addressed to the Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450

Connie Thayer

(Typed or printed name of person mailing paper or fee)

  
(Signature of person mailing paper or fee)

11-17-03  
(Date signed)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Jeffrey W. Baxter ) Examiner: Not yet assigned  
Application No. \_\_\_\_\_ ) Art Unit: Not yet assigned  
Filed: November 17, 2003 )  
For: CLIP APPLYING APPARATUSES AND )  
METHODS FOR VASCULAR LIGATION )  
\_\_\_\_\_  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

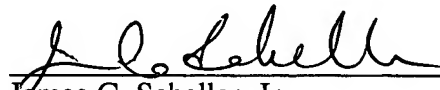
SUBMISSION OF FORMAL DRAWINGS

Dear Sir:

Transmitted herewith is a complete set of formal drawings, comprising nine (9) sheets and eighteen (18) figures for the above-identified application.

Respectfully submitted,  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

Date: 11/17, 2003

  
James C. Scheller, Jr.  
Reg. No. 31,195

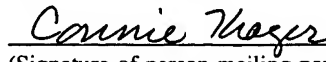
12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8300

EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EV 336 583 540 US Date of Deposit: November 17, 2003

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Connie Thayer  
(Typed or printed name of person  
mailing paper or fee)

  
(Signature of person mailing paper or fee)

11-17-03  
(Date signed)